



16179 U.S. PTO  
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00727 U.S. PTO  
10/716304



TRANSMITTAL FOR U.S. PATENT APPLICATION  
UNDER 37 C.F.R. § 1.53(b)

**Mail Stop: Patent Application**  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Transmitted herewith for filing is the original patent application of:

Inventors: Alastair J.D. Beadle et al.

Date Filed: November 18, 2003

For: ***System and Method for Managing Relationships Between  
Brokers and Traders***

Enclosed are:

Specification, Claims and Abstract (47 Total Pages);  
 Drawing(s) (9 Total Sheet(s) of X Formal    Informal);  
 Signed Combined Declaration and Power of Attorney (3 Total Pages);  
X Newly executed (original);  
 An Assignment of the invention to eSpeed, Inc. (3 Pages) is attached. A separate cover sheet (2 Pages) in compliance with 37 C.F.R. § 3.28 and § 3.31 is included with an Assignment recordal fee of \$40.00 pursuant to 37 C.F.R. § 1.21(h);  
 Nonpublication Request (1 page);  
 This Transmittal (2 pages);  
 Certificate of Mailing (1 page); and  
 Return Receipt Postcard.

Applicant is:

Large Entity  
 Small Entity

The accompanying application is:

Original  
 Continuation  Divisional  Continuation-In-Part

FEE CALCULATION (LARGE ENTITY)					FEE
	Number		Number Extra	Rate	<u>Basic Fee</u> \$770.00
Total Claims:	51	-20 =	31	X \$ 18.00	\$ 558.00
Independent Claims	4	- 3 =	1	X \$ 86.00	\$ 86.00
TOTAL FILING FEE =					\$ 1,414.00

Enclosed is a check in the amount of \$1,414.00 for fees.

Please charge any additional fees required by this paper to Deposit Account No. 02-0384 of BAKER BOTTS L.L.P.

Respectfully submitted,

BAKER BOTTS L.L.P.  
Attorneys for Applicants



Samir A. Bhavsar  
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Dated: November 18, 2003

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ATTORNEY DOCKET NO.  
069547.0179

PATENT APPLICATION

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventors: Alastair J.D. Beadle et al.

Date Filed: November 18, 2003

For: *System and Method for Managing Relationships Between  
Brokers and Traders*

**Mail Stop: Patent Application**  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that the attached Patent Application (47 pages), Fee Transmittal Form (2 pages), a check in the amount of \$1,414.00, Formal Drawings (9 pages), Assignment (3 pages), Assignment Recordation Form (2 pages), check in the amount of \$40.00, Declaration and Power of Attorney (3 pages), Nonpublication Request (1 page), Baker Botts return postcard (1 postcard), and this Certificate of Mailing are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 18th day of November 2003 and is addressed to the Mail Stop: Patent Application, Commissioner For Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

  
\_\_\_\_\_  
Willie Jiles

Express Mail Receipt  
No. EV 323507519 US

<b>NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>		First Named Inventor	Alastair J.D. Beadle et al.
Title	<b>System and Method for Managing Relationships Between Brokers and Traders</b>		
Atty Docket Number		069547.0179	

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

BAKER BOTTS L.L.P.  
Attorneys for Applicants



Signature

Samir A. Bhavsar  
Typed or printed name  
Reg No. 41,617

Date: November 18, 2003

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicants may rescind this nonpublication request at any time. If applicants rescind a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicants subsequently file an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicants must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.